

FORM PTO-1390  
(REV 10-94)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

10873.1863USWO

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5)

Unknown

10/567418

INTERNATIONAL APPLICATION NO.

PCT/JP2004/011584

INTERNATIONAL FILING DATE

August 5, 2004

PRIORITY DATE CLAIMED

August 7, 2003

TITLE OF INVENTION

OPTICAL DISK APPARATUS (AS AMENDED)

APPLICANT(S) FOR DO/EO/US

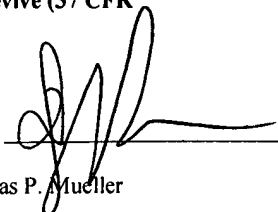
HASHIMOTO

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(l).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ A signed oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98, Form 1449, 2 references.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment (11 pages).  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: Application Data Sheet (3 pages), 7 sheets of formal drawings, International Publication Page WO 2005/015548, Form PCT/ISA/210, Form PCT/ISA/237, Form PCT/IB/304, Form PCT/IB.308, Communication regarding Figure Publication, Applicant's Informal Comments on ISA Opinion

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
Unknown <b>10/567418</b>		PCT/JP2004/011584		10873.1863USWO	
<b>BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)):</b>					
<input checked="" type="checkbox"/> a) Basic National fee.....\$300				\$300	
<input checked="" type="checkbox"/> b) Examination fee.....\$200				\$200	
<input checked="" type="checkbox"/> c) Search fee.....\$500				\$500	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$1000</b>	
Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional set of 50 sheets, more than 100 sheets		Rate	
44 -100 =	0 /50 =	0		X \$250	\$0
Surcharge of \$130 for furnishing the oath or declaration later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$0	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	22 -20 =	2	X \$50 \$100		
Independent claims	2 -3 =	0	X \$200 \$0		
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360 \$0		
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$1100</b>	
Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27				\$0	
<b>SUBTOTAL =</b>				<b>\$1100</b>	
Processing fee of \$130 for furnishing the English translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+ \$0	
<b>TOTAL NATIONAL FEE =</b>				<b>\$1100</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property				+ \$0	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$1100</b>	
				Amount to be:	
				refunded	\$0
				charged	\$0
<p>a. <input checked="" type="checkbox"/> Check(s) in the amount of \$1100 to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge the amount of \$ to cover the required filing fee for a large entity to the credit card listed on the enclosed credit card authorization form.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-3478.</p>					
<p><b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b></p>					
<p>SEND ALL CORRESPONDENCE TO:          Douglas P. Mueller          Hamre, Schumann, Mueller &amp; Larson, P.C.          P.O. Box 2902-0902          Minneapolis, MN 55402</p>					
				<p>SIGNATURE: </p> <p>NAME: Douglas P. Mueller</p> <p>REGISTRATION NUMBER: 30,300</p>	

10/567418

IAP20 Rec'd PCT/PTO 06 FEB 2006

## UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: HASHIMOTO  
 Attorney Docket: 10873.1863USWO  
 Title: OPTICAL DISK APPARATUS (AS AMENDED)

## CERTIFICATE UNDER 37 CFR 1.10

Express Mail mailing label number: EV 775294982 US

Date of Deposit: February 6, 2006

I hereby certify that the papers listed below are being deposited with the United States Postal Service Express Mail Post Office to Addressee service under 37 CFR 1.10, in an envelope addressed to: Mail Stop Application, Commissioner for Patents, P.O. Box 1450, Arlington, VA 22313-1450.

By: 

Name: Abbie Larkin

Mail Stop PCT  
 Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

53148

PATENT TRADEMARK OFFICE

Commissioner:

The following papers are transmitted herewith:

- ☒ Transmittal sheet, in duplicate, containing Certificate Under 37 CFR 1.10;
- ☒ National Stage Patent Application including: Description - 29 pages; 22 Claims - 7 pages; Abstract - 1 page; Drawings - 7 sheets (formal);
- ☒ Signed Combined Declaration and Power of Attorney;
- ☒ Application Data Sheet - 3 pages;
- ☒ Information Disclosure Statement, Form 1449, 2 references
- ☒ Check(s) for the amount of \$1100 to cover the filing fee calculated below;
- ☒ Other: Preliminary Amendment, PTO Form 1390, International Publication Page WO 2005/015548, Form PCT/ISA/210, Form PCT/ISA/237, Form PCT/IB/304, Form PCT/IB.308, Communication regarding Figure Publication, Applicant's Informal Comments on ISA Opinion
- ☒ Return postcard

## CLAIMS AS FILED

Number of Claims Filed	No.	In Excess of	Extra	Rate	Fee
Total Claims	22	20	2	50	= 100
Independent Claims	2	3	0	200	= 0
Multiple Dependent Claims Fee					= 0
Basic Filing Fee					= 300
Search Fee					= 500
Examination Fee					= 200
Utility Application Size Fee	44	100	0	250	= 0
Total					= \$1100

Please charge any additional fees or credit overpayment to Deposit Account No. 50-3478. A duplicate of this sheet is enclosed.

Hamre, Schumann, Mueller & Larson, P.C.  
 P.O. Box 2902-0902 Minneapolis, MN 55402  
 612.455-3800

By: 

Name: Douglas P. Mueller  
 Reg. No.: 30,300  
 Initials: DPM/acp

(PTO TRANSMITTAL - NEW FILING)

10/567418

IAP20 Rec'd PCT/PTO 06 FEB 2006  
PATENT

S/N Unknown

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: HASHIMOTO Serial No.: Unknown  
Filed: Concurrent herewith Docket No.: 10873.1863USWO  
Title: OPTICAL DISK APPARATUS (AS AMENDED)

CERTIFICATE UNDER 37 CFR 1.10

Express Mail mailing label number: EV 775294982 US

Date of Deposit: February 6, 2006

I hereby certify that the papers listed below are being deposited with the United States Postal Service Express Mail Post Office to Addressee service under 37 CFR 1.10 in an envelope addressed to: Mail Stop Application, Commissioner for Patents, P.O. Box 1450, Arlington, VA 22313-1450.

By: 

Name: Abbie Larkin

COMMUNICATION REGARDING REQUESTED FIGURE

Mail Stop PCT  
Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Commissioner:

In connection with the above-identified application, applicant respectfully requests that Figure 1 be printed on the front page of the published application.

If a telephone conference would be helpful in resolving any issues concerning this communication, please contact Applicants' primary attorney-of record Douglas P. Mueller (Reg. No. 30,300), at (612) 455.3804.

**53148**

PATENT TRADEMARK OFFICE

Respectfully submitted,

HAMRE, SCHUMANN, MUELLER &  
LARSON, P.C.  
P.O. Box 2902-0902  
Minneapolis, MN 55402-0902  
(612) 455-3800

Dated: February 6, 2006

By: 

Douglas P. Mueller  
Reg. No. 30,300  
DPM/acp